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| TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT Under 37 CFR 1.97(b), (c), or (d) | | | Docket No. Bernasconi 4 |
| In re Application of: Pietro Bernasconi | | | |
| Serial No. Not Yet Assigned | Filing Date Herewith | Examiner Not Yet Assigned | Group Art Unit Not Yet Assigned |
| Title: ARRAYED WAVEGUIDE GRATINGS WITH IMPROVED OUTPUT EFFICIENCY <i>TRANSMISSION (JCV)</i> | | | |
| Address to: Commissioner for Patents Alexandria, VA 22313-1450 | | | |
| 37 CFR 1.97(b) | | | |
| 1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114. | | | |
| 37 CFR 1.97(c) | | | |
| 2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the statement or fee as indicated below. | | | |
| 37 CFR 1.97(d) | | | |
| 3. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee and is accompanied by the statement and fee as indicated below. | | | |
| Required Statements and/or Fees Under 37 CFR 1.97(c) or (d) | | | |
| <input type="checkbox"/> Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(1)) | | | |
| <input type="checkbox"/> No item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(2)) | | | |
| <input type="checkbox"/> The fee set forth in 37 CFR 1.17(p). Please credit any overpayment or charge any insufficiency to deposit account number 20-0782. | | | |
| 37 CFR §1.704(d) | | | |
| 4. <input type="checkbox"/> Each item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement. | | | |
| <i>EJ Wall</i> Eamon J. Wall Reg. No. 39,414 Moser, Patterson & Sheridan, LLP Attorneys at Law 595 Shrewsbury Avenue, Suite 100 Shrewsbury, New Jersey 07702 732-530-9404 | | Dated: <u>6/27/03</u> <div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;">Certificate of Mailing by Express Mail</p> <p>I certify that this document is being deposited on with the U.S. Postal Service as Express Mail under 37 CFR §1.8 and is addressed to the Commissioner for Patents, Alexandria, VA 22313-1450. Label No <u>EV177893435US</u></p> <p style="text-align: center;"><i>Carol Wilson</i> Signature of Person Mailing Correspondence</p> <p style="text-align: center;"><u>CAROL WILSON</u> Typed or Printed Name of Person Mailing Correspondence</p> </div> | |

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| U.S. Department of Commerce, Patent and Trademark Office (PTO Form 1449 modified) | | Docket No. Bernasconi 4 | Serial No. Not Yet Assigned |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | Applicant Bernasconi | Confirmation No.: Not Yet Assigned |
| (Use several sheets if necessary) | | Filing Date Herewith | Group Not Yet Assigned |
| | Examiner Not Yet Assigned | | |

U.S. Patent Documents

| *Examiner Initial | | Document Number | Issue Date | Applicant(s) Name | Class | Subclass | Filing Date If Appropriate |
|-------------------|----|-----------------|------------|-------------------|-------|----------|----------------------------|
| | A1 | 6,381,383 B1 | 4/30/02 | Bernasconi et al. | 385 | 24 | |
| | A2 | | | | | | |
| | A3 | | | | | | |
| | A4 | | | | | | |
| | A5 | | | | | | |
| | A6 | | | | | | |
| | A7 | | | | | | |
| | A8 | | | | | | |

Foreign Patent Documents

| *Examiner Initial | | Document Number | Date | Country | Class | Subclass | Translation | |
|-------------------|----|-----------------|------|---------|-------|----------|--------------------------|--------------------------|
| | | | | | | | YES | NO |
| | B1 | | | | | | <input type="checkbox"/> | <input type="checkbox"/> |
| | B2 | | | | | | <input type="checkbox"/> | <input type="checkbox"/> |
| | B3 | | | | | | <input type="checkbox"/> | <input type="checkbox"/> |

OTHER ART

| *Examiner Initial | | Including Author, Title, Date, Pertinent Pages, Etc. |
|-------------------|----|--|
| | C1 | "An N x N Optical Multiplexer Using a Planar Arrangement of Two Star Couplers", C. Dragone, IEEE Photonics Technology Letters, Vol. 3, No. 9, September 1991, pp. 812-815. |
| | C2 | "PHASAR-Based WDM-Devices: Principles, Design and Applications", M. K. Smit and C. van Dam, IEEE Journal of Selected Topics in quantum Electronics, Vol. 2, No. 2, June 1996, pp. 236-250. |
| | C3 | "32 x 32 Arrayed-Waveguide Grating Multiplexer with Uniform Loss and Cyclic Frequency Characteristics", K. Okamoto et al., Electronics Letters, Vol. 33, No. 22, pp. 1865-1866. |

Examiner

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.